

Non Responsive Record

## APPENDIX A

**From:** Draddy, Sam <Sam.Draddy@finra.org>

**Sent:** Monday, November 29, 2021 5:03 PM

**To:** (b)(6); (b)(7)(C) @SEC.GOV>; (b)(6); (b)(7)(C) @SEC.GOV>

**Cc:** (b)(6); (b)(7)(C) @SEC.GOV>; Casimates, Patricia

<Patricia.Casimates@finra.org>

**Subject:** RE: Inquiry

**CAUTION:** This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

(b)(6); (b)(7)(C) —I believe it was Patti Casimates from our Market Ops group who reached out to (b)(6); (b)(7)(C) I have included her on the email so you can reach out to her directly. Hope all is well!

Sam

Non Responsive Record



Non Responsive Record

**From:** Draddy, Sam <Sam.Draddy@finra.org>

**Sent:** Monday, December 5, 2022 9:07 AM

**To:** (b)(6); (b)(7)(C) @SEC.GOV>

**Cc:** (b)(6); (b)(7)(C) @SEC.GOV>; (b)(6); (b)(7)(C) @SEC.GOV>; Boyle, Richard <Richard.Boyle@finra.org>; Gibbon, Jay <Jay.Gibbon@finra.org>

**Subject:** RE: Inquiry

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(b)(6); (b)(7)(C) --looks like this MMAT/MMTLP matter has now hit my Fraud team's radar screen (and seemingly a lot of other radar screens as well). I know you have spoken to Patti Casimates and our General Counsel's office—but was wondering if it made sense for my Fraud team to have a conversation directly with you and your folks working on the matter so we are not duplicating efforts. We are looking at the two issuers from a fraud/manipulation angle and, in fact, bluesheeting both MMAT and MMTLP as we speak.

If you think a comparison of notes is worth a quick call—let me know a good day/time. I can set up a zoom and feel free to let me know if (b)(6); (b)(7)(C) or anyone else should be included.

Thanks (b)(6); (b)(7)(C)

Sam

Non Responsive Record

**From:** Boyle, Richard  
**To:** (b)(6); (b)(7)(C)  
**Cc:** Gibson, Jay  
**Subject:** Meta Materials Inc. (MMAT and MMTLP) / Next  
**Date:** Friday, December 2, 2022 10:46:34 AM  
**Attachments:** image001.png

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**CAUTION:** This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Good morning (b)(6); (b)(7)(C) I believe you've had conversations with FINRA's OTC Corporate Actions team regarding the above issuer and its proposed spin-off transaction. Would one of you have time on Monday or Tuesday to discuss this matter? FINRA's Market Fraud Investigations team recently received several tips that appear to have also been sent to the SEC. Below are some proposed times to discuss but we can work around your schedules if these don't work for you. Thanks.

Monday – between 11:30 ET and 2:30 ET or between 4:30 ET and 5:30 ET  
Tuesday – between 4:30 ET and 5:30 ET

**Rich Boyle**

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Phone: (240) 386-5008 | [richard.boyle@finra.org](mailto:richard.boyle@finra.org) | [www.finra.org](http://www.finra.org)

**FINRA**

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**To:** (b)(6); (b)(7)(C) @SEC.GOV>

**Cc:** Boyle, Richard <Richard.Boyle@finra.org>; Gibbon, Jay <Jay.Gibbon@finra.org> (b)(6); (b)(7)(C)

(b)(6); (b)(7)(C) @SEC.GOV>

**Subject:** RE: Inquiry

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(b)(6); (b)(7)(C) I sent you and (b)(6); (b)(7)(C) the zoom invite for 1pm today. Look forward to talking to you.

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